

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	10/700,406
				Filing Date	November 4, 2003
				First Named Inventor	Matt MORANO
				Art Unit	3696
				Examiner Name	Clement B. GRAHAM
Sheet	1	of	5	Attorney Docket No.	NYMX0002

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document No. No. - Kind Code ²	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		2008/0077320	03-27-2008	LOFTUS, ET AL.	
		2007/0282733	12-06-2007	MAY	
		2007/0239591	10-11-2007	MAY	
		2007/0011079	01-11-2007	MAY	
		2006/0190383	08-24-2006	MAY	
		2006/0095363	05-04-2006	MAY	
		2004/0015431	01-22-2004	MAY	
		2004/0015430	01-22-2004	MAY	
		2003/0229571	12-11-2003	MAY	
		2003/0220868	11-23-2003	MAY	
		2003/0093360	05-15-2003	MAY	
		2002/0116317	08-22-2002	MAY	
		2002/0099651	07-25-2002	MAY	
		2002/0002530	01-03-2002	MAY	

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Country Code ³	Number ⁴ Kind Code ⁵			

EXAMINER SIGNATURE	/Clement Graham/	DATE CONSIDERED	06/21/2009
---------------------------	-------------------------	------------------------	-------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST 3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) and application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	10/700,406
				Filing Date	November 4, 2003
				First Named Inventor	Matt MORANO
				Art Unit	3696
				Examiner Name	Clement B. GRAHAM
Sheet	2	of	5	Attorney Docket No.	NYMX0002

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document No. No. - Kind Code ²	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		2006/0059064	03-16-2006	GLINBERG, ET AL.	
		2006/0059066	03-16-2006	GLINBERG, ET AL.	
		2006/0059068	03-16-2006	GLINBERG, ET AL.	
		2006/0059067	03-16-2006	GLINBERG, ET AL.	
		2006/0059065	03-16-2006	GLINBERG, ET AL.	
		2006/0059069	03-16-2006	GLINBERG, ET AL.	
		2006/0265296	11-23-2006	GLINBERG, ET AL.	
		2006/0190371	08-24-2006	ALMGREN, ET AL.	
		2005/0086152	04-21-2005	SWEETING	
		2003/0033240	02-13-2003	BALSON, ET AL.	
		2002/0169774	11-14-2002	GREENBAUM, ET AL.	
		2001/0056398	12-27-2001	SCHEIRER	
		2005/0171894	08-04-2005	TRAYNOR	
		2005/0283422	12-22-2005	MYR	

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Country Code ³	Number ⁴ Kind Code ⁵			

EXAMINER SIGNATURE	/Clement Graham/	DATE CONSIDERED	06/21/2009
---------------------------	-------------------------	------------------------	-------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) and application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	10/700,406
				Filing Date	November 4, 2003
				First Named Inventor	Matt MORANO
				Art Unit	3696
				Examiner Name	Clement B. GRAHAM
Sheet	3	of	5	Attorney Docket No.	NYMX0002

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	Document No. No. - Kind Code ²	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		2006/0173761	08-03-2006	COSTAKIS		
		2002/0116314	08-22-2002	SPENCER, ET AL.		
		2004/0186806	09-23-2004	SINCLAIR, ET AL.		
		2004/0172337	09-02-2004	SPOONHOWER, ET AL.		
		2005/0097027	05-05-2005	KAVANAUGH		
		2005/0137964	06-23-2005	NORDLICHT, ET AL.		
		2005/0171890	08-04-2005	DALEY, ET AL.		
		2002/0035531	03-21-2002	PUSH		
		2002/0077947	06-20-2002	WARD, ET AL.		
		2002/0178102	11-28-2002	SCHEINBERG, ET AL.		
		2003/0125982	07-03-2003	GINSBERG, ET AL.		
		2005/0080703	04-14-2005	CHIESA, ET AL.		
		2002/0156719	10-24-2002	FINEBAUM, ET AL.		
		2004/0254804	12-16-2004	PETERFFY, ET AL.		
		2005/0044027	02-24-2005	RODGERS, ET AL.		
		2004/0236662	11-25-2004	KORHAMMER, ET AL.		
		2005/0246263	11-03-2005	OGG, ET AL.		
FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	Foreign Patent Document Country Code ³ Number ⁴ Kind Code ⁵	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T ⁶

EXAMINER SIGNATURE	/Clement Graham/	DATE CONSIDERED	06/21/2009
---------------------------	-------------------------	------------------------	-------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) and application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	10/700,406
				Filing Date	November 4, 2003
				First Named Inventor	Matt MORANO
				Art Unit	3696
				Examiner Name	Clement B. GRAHAM
Sheet	4	of	5	Attorney Docket No.	NYMX0002

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document No. No. - Kind Code ²	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		6,996,540	02-07-2006	MAY	
		6,317,727	11-13-2001	MAY	
		7,130,789	10-31-2006	GLODJO, ET AL.	
		6,321,212	11-20-2001	LANGE	
		6,721,715	04-13-2004	NEMZOW	
		7,043,457	05-09-2006	HANSEN	
		7,177,833	02-13-2007	MARYNOWSKI, ET AL.	
		7,194,481	03-20-2007	VAN ROON	
		6,658,393	12-02-2003	BASCH, ET AL.	
		6,347,307	02-12-2002	SANDHU, ET AL.	

FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Doc	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ Kind Code ⁵				

EXAMINER SIGNATURE	<i>/Clement Graham/</i>	DATE CONSIDERED	06/21/2009
---------------------------	-------------------------	------------------------	------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) and application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	10/700,406
				Filing Date	November 4, 2003
				First Named Inventor	Matt MORANO
				Art Unit	3696
				Examiner Name	Clement B. GRAHAM
Sheet	5	of	5	Attorney Docket No.	NYMX0002

NON PATENT LITERATURE DOCUMENTS			
Examiner initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s) publisher, city and/or country where published	T ²
		PCT/US06/44932; INTERNATIONAL SEARCH REPORT; AUGUST 19, 2008	
		PCT/US06/43282; INTERNATIONAL SEARCH REPORT; MAY 30, 2008	
		PCT/US06/44702; INTERNATIONAL SEARCH REPORT; AUGUST 17, 2007	
		PCT/US06/44917; INTERNATIONAL SEARCH REPORT; AUGUST 28, 2007	
		PCT/US06/28001; INTERNATIONAL SEARCH REPORT; MAY 7, 2007	
		PCT/US06/27762; INTERNATIONAL SEARCH REPORT; MARCH 9, 2007	
		CME® "Clearing Services CME and LCH"; Advisory Notice; http://www.web.archive.org/web/20050306002321/http://www.cme.com/clearing/rmspan/cm/lch... , last accessed February 22, 2007; 1 page	
		CME® "Clearing Services Layout for Results"; Advisory Notice; http://www.web.archive.org/web/20050308181020/http://www.cme.com/clearing/rmspan/cm/rec... , last accessed February 22, 2007; 2 pages	
		CME® "Foreign Exchange Products; Trading CME FX Futures: Maximizing the Opportunity for the Individual Investor"; 2005; 6 pages	
		CME® "Glossary for Retail FX"; http://www.cme.com/files/FXWebglossary.pdf ; 16 pages	
		Position Limit, http://www.investopedia.com/terms/p/positionlimit.asp ; 1 page	
		U.S. Commodity Futures Trading Commission; "Security Futures Products Speculative Position Limits"; http://www.cftc.gov/industryoversight/contractsandproducts/sfpspeculativelimits.html ; July 26, 2007; 1 page	
		U.S. Commodity Futures Trading Commission; "What's New at the CFTC"; http://www.cftc.gov/index.htm ; March 19, 2009; 2 pages	
		U.S. Commodity Futures Trading Commission; "Trading Organizations"; http://www.cftc.gov/industryoversight/tradingorganizations.index.htm ; March 19, 2009; 1 page	
		U.S. Commodity Futures Trading Commission; "Clearing Organizations"; http://www.cftc.gov/industryoversight/clearingorganizations/index.htm ; March 19, 2009; 2 pages	
		HALL "Getting Started in Stocks"; Third Edition; Google Book Search; http://books.google.com/books?id=mA-sSK_mB2sC&dq=margin+account+maintenance... ; September 26, 2008; pp. 105-114; Coughlan Publishing; 1997	

EXAMINER SIGNATURE	/Clement Graham/	DATE CONSIDERED	06/21/2009
<p>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p> <p>¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) and application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.</p>			